

Sheet 1 of 2

FORM PTO-1449
(REV. 6-89)U.S. DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAttorney's Docket No.
21816-04467Serial No.
09/526 980

INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Applicant
Peter Newman et al.Filing Date
March 15, 2000Group Art Unit
2756RECEIVED
FEB 20 2001
Technology Center

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date Appropriate
DS	A 6 0 7 5 9 3 8	06/13/00	Bugnion et al.	395	500.48	06/10/98

FOREIGN PATENT DOCUMENTS

Document Number	Date	Country	Class	Subclass	Translation Yes No

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

DS	B	Keshav, S., <i>An Engineering Approach to Computer Networking: ATM Networks, the Internet, and the Telephone Network</i> , Reading, MA, Addison-Wesley, 1997, pp vii-xi, 85-115, 209-355, 395-444
	C	Stevens, R. W., <i>UNIX Network Programming Volume 1 Networking APIs: Sockets and XTI</i> , Upper Saddle River, NJ, Prentice Hall, 1998, pp v-xiv, 29-53, 85-110, 727-760
	D	Tanenbaum, A. S. and Woodhull, A. S., <i>Operating Systems: Design and Implementation</i> , Upper Saddle River, NJ, Prentice Hall, 1997, pp vii-xiv, 1-46, 401-454
	E	Rubini, A., <i>LINUX Device Drivers</i> , Sebastopol, CA, O'Reilly & Associates, Inc., 1998, pp v-x, 13-40
	F	Goyal, P., et al., "A Hierarchical CPU Scheduler for Multimedia Operating Systems," <i>Proceedings of the Second Symposium on Operating Systems Design and Implementations (OSDI'96)</i> , Seattle, WA, October 1996, 15 pages
	G	Laurie, B. and Laurie, P., <i>Apache The Definitive Guide</i> , Sebastopol, CA, O'Reilly & Associates, Inc., February 1999, pp v-viii, 43-74
	H	Aho, A. V. and Ullman J. D., <i>Principles of Compiler Design</i> , Reading, MA, 1977, pp vii-x, 359-362, 519-522
	I	Jonsson, J., "Exploring the Importance of Preprocessing Operations in Real-Time Multiprocessor Scheduling," <i>Proc. of the IEEE Real-Time Systems Symposium - Work-in-Progress session</i> , San Francisco, CA, December 4, 1997, pp 31-34
	J	Rusling, D. A., Processes, [online], [retrieved on 12-07-1999]. Retrieved from the Internet: <URL: http://www.cebaf.gov/~saw/linux/tlk-html/node44.html >
	K	Rusling, D. A., Linux Processes, [online], [retrieved on 12-07-1999]. Retrieved from the Internet: <URL: http://www.cebaf.gov/~saw/linux/tlk-html/node45.html >
	L	Rusling, D. A., Identifiers, [online], [retrieved on 12-07-1999]. Retrieved from the Internet: <URL: http://www.cebaf.gov/~saw/linux/tlk-html/node46.html >
	M	Rusling, D. A., Scheduling, [online], [retrieved on 12-07-1999]. Retrieved from the Internet: <URL: http://www.cebaf.gov/~saw/linux/tlk-html/node47.html >
	N	Rusling, D. A., Scheduling in Multiprocessor Systems, [online], [retrieved on 12-07-1999]. Retrieved from the Internet: <URL: http://www.cebaf.gov/~saw/linux/tlk-html/node48.html >
✓	O	Rusling, D. A., Files, [online], [retrieved on 12-07-1999]. Retrieved from the Internet: <URL: http://www.cebaf.gov/~saw/linux/tlk-html/node49.html >

EXAMINER

DAVID Y. ENG

PRIMARY EXAMINER

DATE CONSIDERED

2/03

EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered.

Include copy of this form with next communication to applicant.

# 2
RECEIVED

FEB 20 2001

Technology Center
Sheet 2 of 2100

FORM PTO-1449 (REV. 6-89) INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)	U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office	Attorney's Docket No. 21816-04467	Serial No. 09/526,980
		Applicant Peter Newman et al.	
	Filing Date March 15, 2000	Group Art Unit 2756	

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate

FOREIGN PATENT DOCUMENTS

Document Number	Date	Country	Class	Subclass	Translation
					Yes No

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

29	P	Plummer, D. C., <i>An Ethernet Address Resolution Protocol -- or -- Converting Network Protocol Addresses to 48.bit Ethernet Address for Transmission on Ethernet Hardware</i> , November 1982, [online], [retrieved on 1-17-2000]. Retrieved from the Internet: <URL: http://www.msg.net/kadow/answers/extras/rfc/rfc826.txt >
	Q	Huang, X. W. et al., "The ENTRAPID Protocol Development Environment," <i>Proceedings of IEEE Infocom'99</i> , March 1999, nine pages
	R	Duffield, N.G., et al., "A Flexible Model for Resource Management in Virtual Private Networks," <i>Computer Communication Review Conference, Computer Communication, ACM SIGCOMM '99 Conference</i> , Cambridge, MA, 8/30/99-9/3/99. pp 95-108
	S	Campbell, A. T. and Keshav, S., "Quality of Service in Distributed Systems," <i>Computer Communications</i> 21, 1998, pp 291-293
	T	Bach, M. J., <i>The Design of the Unix® Operating System</i> , New Delhi, Prentice-Hall of India, 1989, pp v-x, 19-37
	U	McDougall, R., et al., <i>Resource Management</i> , Upper Saddle River, NJ, Prentice Hall, 1999, pp iii-xix, 135-191
	V	Rijsinghani, A., RFC 1624, May 1994, [online], [retrieved 02-02-2000]. retrieved from the internet: <URL: http://www.faqs.org/rfcs/rfc1624.html >
	W	Mallory, T and Kullberg, A., RFC 1141, January 1990 [online], [retrieved 02-02-2000]. retrieved from the Internet: <URL: http://www.faqs.org/rfcs/rfc1141.html >
✓	X	Egevang, K. and Francis P., RFC 1631, May 1994 [online], [retrieved 02-02-2000]. retrieved from the Internet: <URL: http://www.faqs.org/rfcs/rfc1631.html >

DAVID V. ENG

EXAMINER

PRIMARY EXAMINER

DATE CONSIDERED

EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered.

Include copy of this form with next communication to applicant.

FORM PTO-1449
(REV. 6-89)

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Attorney's Docket No.

21816-04467

Serial No.

09/526,980

Applicant

Peter Newman et al.

Filing Date

March 15, 2000

Group Art Unit

2756

INFORMATION DISCLOSURE CITATION

FEB 26 2001

(Use several sheets if necessary)

U.S. PATENT DOCUMENTS

Examiner Initials	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate

FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

92	A	Goyal, P. et al., "Start-time Fair Queuing: A Scheduling Algorithm for Integrated Services Packet Switching Networks," Proceedings of ACM SIGCOMM '96, San Francisco, CA, August 1996, 14 pages
	B	János, T., "Notes on 'A Hierarchical CPU Scheduler for Multimedia Operating Systems' by Pawan Goyal, Xingang Guo and Harrick Vin," [online], [retrieved on 5-8-2000]. Retrieved from the internet: <URL: http://cs.cornell.edu/Info/Courses/Spring-97/CS614/goy.html >
	C	Goyal, P., "Packet Scheduling Algorithms for Integrated Services Networks," PhD Dissertation, University of Texas, Austin, TX, August 1997
	D	Pending United States patent application entitled "Providing Quality of Service Guarantees to Virtual Hosts," serial number 09/452,286, filing date November 30, 1999
	E	Pending United States patent application entitled "Selective Interception of System Calls," serial number 09/499,098, filing date February 4, 2000
	F	Pending United States patent application entitled "Dynamic Scheduling of Task Streams in a Multiple-Resource System to Ensure Task Stream Quality of Service," serial number 09/498,450, filing date February 4, 2000
	G	Pending United States patent application entitled "Disambiguating File Descriptors," serial number 09/500,212, filing date February 8, 2000
	H	Pending United States patent application entitled "Restricting Communication Between Network Devices on a Common Network," serial number 09/502,155, filing date February 11, 2000
	I	Pending United States patent application entitled "Restricting Communication of Selected Processes to a Set of Specific Network Addresses," serial number 09/503,975, filing date February 14, 2000

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered.

Include copy of this form with next communication to applicant.

DAVID Y. ENG

PRIMARY EXAMINER

PTO-1449

REV: 02/01

21816/04467/DOCS/1146175.1



RECEIVED
MAY 28 2002

#5

Technology Center 2100 Sheet 1 of 2

FORM PTO-1449 (REV. 6-89) INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)	U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office		Attorney's Docket No. 21816-04467	Serial No. 09/526,980
	Applicant Peter Newman and Pawan Goyal			
	Filing Date March 15, 2000		Group Art Unit 2152	

U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
58	A	US 6,192,389 B1	02/20/01	Ault et al.	709	101	03/28/97
	B	US 6,192,512 B1	02/20/01	Chess	717	5	09/24/98
	C	6,167,520	12/26/00	Touboul	713	200	01/29/97
	D	6,108,759	08/22/00	Orcutt et al.	711	173	09/17/97
	E	6,065,118	05/16/00	Bull et al.	713	200	09/24/96
	F	6,023,721	02/08/00	Cummings	709	201	05/14/97
	G	5,956,481	09/21/99	Walsh et al.	395	186	
	H	5,937,159	08/10/99	Meyers et al.	395	187.01	
	I	5,918,018	06/29/99	Gooderum et al.	395	200.55	
	J	5,915,085	06/22/99	Koved	395	186	
	K	5,913,024	06/15/99	Green et al.	395	186	
	L	5,845,129	12/01/98	Wendorf et al.	395	726	
	M	5,842,002	11/24/98	Schnurer et al.	395	500	
	N	5,838,916	11/17/98	Domenikos et al.	395	200.49	
	O	5,828,893	10/27/98	Weid et al.	395	800	
	P	5,809,527	09/15/98	Cooper et al.	711	133	
	Q	5,781,550	07/14/98	Templin et al.	370	401	
	R	5,761,477	06/02/98	Wahbe et al.	395	406 A	
	S	5,706,097	01/06/98	Schelling et al.	358	296	
	T	5,692,047	11/25/97	McManis	380	4	
	U	5,636,371	06/03/97	Yu	395	500	
	V	5,603,020	2/11/97	Hashimoto et al.	395	616	
	W	5,263,147	11/16/93	Francisco et al.	395	425	
	X	4,177,510	12/04/79	Appell et al.	364	200	
	Y	3,377,624	04/09/68	R. A. Nelson et al.			



RECEIVED

MAY 28 2002

Technology Center 2100

Sheet 2 of 2

FORM PTO-1449

(REV. 6-89)

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

Attorney's Docket No.

21816-04467

21816-04467

INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Applicant

Peter Newman and Pawan Goyal

Filing Date

March 15, 2000

Group Art Unit

2152

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Z	Boehm, B., "Managing Software Productivity and Reuse," IEEE Computer, Volume 32, Number 9, September 1999, 3 pages
AA	Corbato, F. J. et al. "An Experimental Timesharing System," Proceedings of the American Federation Of Information Processing Societies Spring Joint Computer Conference, San Francisco, CA, May 1-3, 1962, pp 335-344
BB	Deutsch, P. and Grant, C.A., "A Flexible Measurement Tool for Software Systems," Information Processing 71 (Proc. of the IFIP Congress), 1971, pp. 320-326
CC	Edjlali, G., et al., "History-based Access Control for Mobile Code," Fifth ACM Conference on Computer and Communication Security, November 3-5, 1998, 19 pages
DD	Erlingsson, U. and Schneider, F. B., "SASI Enforcement of Security Policies: A Retrospective," Proc. New Security Paradigms Workshop, April 2, 1999, pp 1-17
EE	Erlingsson, U. and Schnieder, F. B., IRM Enforcement of Java Stack Inspection, [online], February 19, 2000, [retrieved on 04/02/2002]. Retrieved from the Internet: <URL: http://cs-tr.cs.cornell.edu/Dienst/UI2.0/ShowPage/ncstrl.cornell/TR2000-1786 >
FF	Evans, D. and Twyman, A., "Flexible Policy-Directed Code Safety," Proc. of 1999 IEEE Symposium on Security and Privacy, Oakland, CA, May 9-12, 1999, pages 1-14
GG	Fraser, T. et al., "Hardening COTS Software with Generic Software Wrappers," Proc. of 1999 IEEE Symposium on Security and Privacy, 1999, 15 pages
HH	Goldberg, I. et al., "A Secure Environment For Untrusted Helper Applications (Confining the Wily Hacker)," Proc. of the Sixth USENIX UNIX Security Symposium, San Jose, CA, July 1996, 14 pages
II	Goldberg, R. P., "Survey of Virtual Machine Research," IEEE Computer, June 1974, pp 34-45
JJ	Pandey, R. and Hashii, B., "Providing Fine-Grained Access Control For Mobile Programs Through Binary Editing," Technical Report TR98 08, University of California, Davis, CA, 1998, pp 1-22
KK	Ritchie, D. M., "The Evolution of the Unix Time-Sharing System," AT&T Bell Laboratories Technical Journal 63, No. 6, Part 2, October 1984, (originally presented 1979), 11 pages
LL	Saltzer, J. H. and Schroeder, M. D., The Protection of Information in Computer Systems, [online], 1973, [retrieved on 04/02/2002]. Retrieved from the Internet: <URL: http://www.cs.virginia.edu~evans/cs551/saltzer/ >
MM	Wahbe, R., et al., "Efficient Software-Based Fault Isolation," Proc. of the Symposium on Operating System Principles, 1993, 14 pages

EXAMINER

DAVID Y. ENG

DATE CONSIDERED

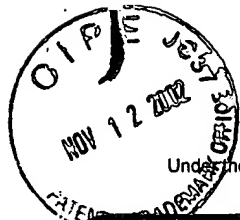
EXAMINER: Initial if references considered whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered.

Include copy of this form with next communication to applicant.

PTO-1449

REV: 02/01

21816/04467/DOCS/1269400.1



#16

PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application No.	09/526,980
				Filing Date	March 15, 2000
				First Named Inventor	Peter Newman
				Art Unit	2155
				Examiner Name	Ayaz R. Sheikh
Sheet	1	of	1	Attorney Docket Number	21816-04467

U.S. PATENT DOCUMENTS				
Examiner Initials*	Cite No. ¹	Document No. Number – Kind Code ² (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
8	A	US-5,212,793	05/18/1993	Donica et al.
	B	US-5,249,290	09/28/1993	Heizer
	C	US-5,437,032	07/25/1995	Wolf et al.
	D	US-5,584,023	12/10/1996	Hsu
	E	US-5,706,453	01/06/1998	Cheng et al.
	F	US-5,708,774	01/13/1998	Boden
	G	US-5,860,004	01/12/1999	Fowlow et al.
	H	US-6,086,623	07/11/2000	Broome et al.
		US-		

RECEIVED
NOV 13 2002
Technology Center 2100

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ – Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T ⁶

OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ⁶	

21816/04467/DOCS/1309313.1

Examiner Signature	DAVID Y. ENG PRIMARY EXAMINER		Date Considered	7/8/03
--------------------	----------------------------------	--	-----------------	--------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application No.	09/526,980 #7
				Filing Date	March 15, 2000
				First Named Inventor	Peter Newman
				Art Unit	2155
				Examiner Name	Ayaz R. Sheikh
Sheet	1	of	1	Attorney Docket Number	21816-04467

U.S. PATENT DOCUMENTS				
Examiner Initials*	Cite No. ¹	Document No. Number - Kind Code ² (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
DS	A	5,528,753	06/18/1996	Fortin
DS	B	5,226,160	07/06/1993	Waldron et al.
		US-		
		US-		
		US-		
		US-		
		US-		
		US-		
		US-		

RECEIVED

MAR 13 2003

Technology Center 2100

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ - Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T ⁶
DS	C	WO 99/39261	08/05/1999	The Learning Company	

OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ⁶	

Examiner Signature	DAVID Y. ENG PRIMARY EXAMINER DS	Date Considered	7/03
--------------------	-------------------------------------	-----------------	------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

21816/04467/DOCS/1328798.1